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Programme planning

Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, Monitoring of Implementation and the Methods of Evaluation

Report of the Secretary-General

1. The Regulations of the United Nations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation were adopted by the General Assembly in its resolution 37/234 of 21 December 1982. The corresponding Rules were promulgated and issued as ST/SGB/PPBME/Rules/1 (1987) pursuant to General Assembly resolutions 37/234 and 38/227 A of 20 December 1983. The Regulations were subsequently amended by the Assembly in section 1 of its resolution 42/215 of 21 December 1987, to reflect the new budget process established in resolution 41/213 of 19 December 1986.

2. The Regulations were further amended by the General Assembly in section III of its resolution 53/207 of 18 December 1998, as recommended by the Committee for Programme and Coordination at its thirty-eighth session.[1] The Secretary-General has prepared revisions to the Rules (see annex) and, as requested by the Assembly in that resolution, is bringing them to its attention, through the Committee for Programme and Coordination. For ease of reference, the Secretariat has indicated, in the annex, which regulations were revised, replaced or deleted, as well as the new numbering therefor. Explanations are also provided for the revisions to the Rules.

3. The Rules have been revised to bring them into conformity not only with the revised Regulations, but also with current practice following experience gained through application and as a result of changes that have taken place since the promulgation of the current Rules. Examples of such changes include the revised format of the medium-term plan and programme budget, resulting in, for example, the deletion of references to "major programmes", "programme elements" and "United Nations system". Some revisions to the Rules also reflect the renumbering of the Regulations, as recommended by the Committee

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for Programme and Coordination and approved by the General Assembly, which has, in some instances, made certain rules repetitive or redundant. One new rule has been added, to take into account Regulation 3.2 on the budget process, for which no rule had been previously promulgated; the new rule refers to the deadline of 15 August of the off-budget year for submission by the Secretary-General of the budget outline.

4. The Rules have also been changed to incorporate gender-sensitive language and will be renumbered when the Regulations and Rules are promulgated and reissued as a Secretary-General's Bulletin.

5. The General Assembly may wish to take note of the revised rules.

Notes

[1] *Official Records of the General Assembly, Fifty-third Session, Supplement No. 16* (A/53/16).

Annex

Regulations and Rules Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation

Regulation/rule	*Comment*	*Change*
Article I. Applicability		
Regulation 1.1. These Regulations shall govern the planning, programming, monitoring and evaluation of all activities undertaken by the United Nations, irrespective of their source of financing.		
Rule 101.1		
(a) These Rules are promulgated in accordance with the provisions of the Regulations Governing Programme Planning, the Programme Aspects of the Budget, the Monitoring of Implementation and the Methods of Evaluation. They shall govern the planning, programming, monitoring and evaluation of United Nations activities, except as may otherwise be provided by the General Assembly or specifically exempted by the Secretary-General. Such cases will be brought to the attention of the General Assembly. The Programme Planning and Budgeting Board, on behalf of the Secretary-General, shall be responsible for the oversight of the application of these rules.	The Programme Planning and Budgeting Board was discontinued and has been replaced by the Steering Committee on Reform and Management.	Last sentence *should read* The Steering Committee on Reform and Management, on behalf of the Secretary-General, shall be responsible for the oversight of the application of these rules.
(b) Planning for activities to be partially or fully financed from extrabudgetary funds shall be provisional, and such activities will be implemented only if adequate funds are made available.	No change.	
(c) Due consideration shall be given in the planning, programming, monitoring and evaluation process to the specific nature of the varied activities of the Organizations, some of which may arise from events that cannot be foreseen or planned, bearing in mind, in particular, the responsibilities of the Security Council under the Charter of the United Nations.	No change.	

Regulation/rule	*Comment*	*Change*
Article II. Instruments of integrated management **Regulation 2.1. Activities undertaken by the United Nations shall be submitted to an integrated management process reflected in the following instruments:** **(a) Medium-term plans;** **(b) Programme budgets;** **(c) Reports on programme performance;** **(d) Evaluation reports;** **Each of these instruments corresponds to one phase in a programme-planning cycle and, consequently, shall serve as a framework for the subsequent phases.**		
Regulation 2.2. The planning, programming, budgeting and evaluation cycle shall form an integral part of the general policy-making and management process of the Organization. The instruments referred to in regulation 2.1 above shall be used to ensure that activities are coordinated and that available resources are utilized according to legislative intent and in the most effective and economic manner.		
Rule 102.2 The Secretary-General shall establish a timetable in order to guarantee the submission of the proposed medium-term plan and its revisions to the Committee for Programme and Coordination, in accordance with the six-week rule, and to the Advisory Committee on Administrative and Budgetary Questions no later than by the end of April of the year preceding the budgetary period.	It would be more appropriate to place this rule under regulation 4.1 of article IV, which governs arrangements for the medium-term plan.	Move as additional rule under regulation 4.1.
Article III. Planning, programming and budgeting process **Regulation 3.1. Planning, programming and budgeting process** **1. The planning, programming and budgeting process shall be governed, *inter alia*, by the following principles:**		

Regulation/rule	*Comment*	*Change*
(a) Strict adherence to the principles and provisions of the Charter of the United Nations, in particular Articles 17 and 18 thereof; **(b) Full respect for the prerogatives of the principal organs of the United Nations with respect to the planning, programming and budgeting process;** **(c) Full respect for the authority and the prerogatives of the Secretary-General as the chief administrative officer of the Organization;** **(d) Recognition of the need for Member States to participate in budgetary preparation from its early stages and throughout the process.** **2. The process for the formulation of the medium-term plan shall include:** **(a) Full implementation of these regulations, as they pertain to the medium-term plan;** **(b) Consultations in a systematic way regarding the programmes in the plan with sectoral, technical, regional and central bodies in the United Nations;** **(c) Drawing up by the Secretary-General, in consultation with the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions, of a calendar for such consultations.**		
Regulation 3.2. Budget process **A. Off-budget years** **1. The Secretary-General shall submit an outline of the programme budget for the following biennium, which shall contain an indication of the following:** **(a) Preliminary estimate of resources to accommodate the proposed programme of activities during the biennium;** **(b) Priorities, reflecting general trends of a broad sectoral nature;**		

Regulation/rule	*Comment*	*Change*
(c) Real growth, positive or negative, compared with the previous budget; **(d) Size of the contingency fund expressed as a percentage of the overall level of resources.** **2. The Committee for Programme and Coordination, acting as a subsidiary organ of the General Assembly, shall consider the outline of the programme budget and submit its conclusions and recommendations to the Assembly through its Fifth Committee.** **3. On the basis of a decision by the General Assembly, the Secretary-General shall prepare his proposed programme budget for the following biennium.** **4. Throughout this process, the mandate and functions of the Advisory Committee on Administrative and Budgetary Questions shall be fully respected. The Advisory Committee shall consider the outline of the programme budget in accordance with the terms of reference.**		
B. Budget years **5. The Secretary-General shall submit the proposed programme budget to the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions in accordance with existing procedures.** **6. The Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions shall examine the proposed programme budget in accordance with their respective mandates and shall submit their conclusions and recommendations to the General Assembly, through its Fifth Committee, for the final approval of the programme budget.**		

Regulation/rule	*Comment*	*Change*
7. The programme budget shall include expenditures related to political activities of a "perennial" character whose mandates are renewed annually, together with their related conference costs.		
Currently no rule.	A new rule is provided to reflect the provisions of General Assembly resolutions 41/213 of 19 December 1986 and 42/211 of 21 December 1987.	The proposed programme budget outline shall be submitted to the General Assembly by 15 August of the off-budget year.
Article IV. Medium-term plan		
Regulation 4.1. A medium-term plan shall be proposed by the Secretary-General.		
Rule 104.1 Instructions shall be issued in accordance with the present Regulations and Rules for the formulation of the medium-term plan proposals. Heads of departments and offices (as defined in financial rule 101.2 (c)) shall submit to the Secretary-General proposals for the programmes falling within their area(s) of competence, in such detail, at such time and through such channels as the Secretary-General may require.	No change.	
	Add current rule 102.2 under regulation 4.1.	The Secretary-General shall establish a timetable in order to guarantee the submission of the proposed medium-term plan and its revisions to the Committee for Programme and Coordination, in accordance with the six-week rule, and to the Advisory Committee on Administrative and Budgetary Questions no later than by the end of April of the year preceding the budgetary period.

Regulation/rule	*Comment*	*Change*
Regulation 4.2. The medium-term plan shall be a translation of legislative mandates into programmes and subprogrammes. Its objectives and strategies shall be derived from the policy orientations and goals set by the intergovernmental organs. It shall clearly reflect Member States' priorities as set out in legislation adopted by functional and regional intergovernmental bodies within their spheres of competence and by the General Assembly, on advice from the Committee for Programme and Coordination. [replaced former 4.2]		
Rule 104.2		
(a) Requests and directives to the Secretary-General contained in resolutions or decisions of relevant intergovernmental organs constitute legislative mandates for proposed activities. Legislation establishing an organizational unit or providing the general mandate for work in an area should not be cited unless it is the only mandate for the activities proposed.	**The rule should be modified to reflect accurately the scope of regulation 4.2, which addresses programmes and subprogrammes. As experience has shown that legislation establishing a unit has been accompanied by other legislation, it is not necessary to retain the second sentence.**	**Requests and directives to the Secretary-General contained in resolutions or decisions of relevant intergovernmental organs shall constitute legislative mandates for the work to be carried out within the programmes and subprogrammes.**
(b) Only United Nations intergovernmental organs are competent to provide a legislative mandate. Decisions or conclusions of intergovernmental organs that are not organs of the United Nations may become a mandate after they are endorsed by an intergovernmental organ of the United Nations.	**No change.**	
(c) Unless it mandates continuing functions of the Organization, a legislative mandate adopted more than five years before the medium-term plan review should be accompanied by an explanation justifying its retention as a mandate.	**No change.**	
(d) New activities which may be proposed by the Secretary-General in fulfilment of the general objectives of the Organization shall be given a legislative mandate by the adoption of the medium-term plan by the General Assembly.	**No change.**	

Regulation/rule	*Comment*	*Change*
Regulation 4.3. The medium-term plan shall serve as a framework for the formulation of the biennial programme budgets within the period covered by the plan. [formerly 4.4]	Former regulation 4.3, as revised, has been renumbered 4.11.	
Regulation 4.4. The plan shall cover all activities, substantive and servicing, including those to be financed partially or fully from extrabudgetary resources. [formerly 4.5]		
Rule 104.5 [relates to current regulation 4.4] Medium-term plan proposals:		
(a) For substantive services shall be submitted to the General Assembly through the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions;	In practice, there has been no distinction between the submission of medium-term plan proposals of activities referred to in (a), (b) and (c) to the General Assembly through the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions. The rule should be revised accordingly to encompass all categories.	Medium-term plan proposals shall be submitted to the General Assembly through the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions.
(b) For common services shall be submitted to the General Assembly through the Advisory Committee on Administrative and Budgetary Questions;	As above.	Delete.
(c) For conference services shall be submitted to the General Assembly through the Committee on Conferences and the Advisory Committee on Administrative and Budgetary Questions.	As above; see also regulation 4.8, which provides for review by specialized intergovernmental bodies.	Delete.

Regulation/rule	*Comment*	*Change*
Regulation 4.5. The plan shall be presented by programme and subprogramme. There shall be congruence, to the extent possible, between the programmatic and organizational structure of the Secretariat. Each programme will contain a narrative that will identify the mandates that provide overall direction for the programme. Each subprogramme shall contain a narrative, which should reflect all mandated activities and identify objectives and accomplishments during the plan period. [replaced 4.6]		
Rule 104.6 (relates to current regulation 4.5)		
(a) Each major programme in the plan shall be presented in a separate chapter.	There are no longer "major" programmes.	Each programme of the p' ı shall be presented in a separate chapter and shall contain subprogrammes, where appropriate.
(b) Submissions shall be made in accordance with a common set of major programme categories.	There are no longer "major programme categories".	Delete.
(c) The subprogramme structure of the programme budgets for the bienniums covered by the plan shall be identical to that of the plan, so that each programme element of the budget can be derived from a subprogramme of the plan.	As article IV and its associated regulations relate to the medium-term plan, the requirements specified in the rule should be reversed to reflect that the plan governs the budget and not vice versa. Furthermore, there are no longer "programme elements". Additionally, given the calendar of meetings, the General Assembly may take decisions on modifications to the subprogramme structure in the programme budget prior to the adoption of revisions to the medium-term plan; this is consistent with regulation 6.2.	The subprogramme structure of the medium-term plan shall determine the subprogramme structure of the programme budgets for the biennium and shall correspond to an organizational unit normally at the division level. The General Assembly may modify the subprogramme structure of the programme budget when it adopts the programme budget.

Regulation/rule	*Comment*	*Change*
(d) For substantive activities:		
(i) Each major programme shall contain an introductory narrative describing the relation of planned activities to the overall strategy reflected in the decisions of the General Assembly for the medium-term period and the rationale for selecting the objectives and the subprogrammes intended to attain them. Such an analysis should take into account the situation in the sector in question, the problems which had been identified and the progress made by the international community towards solving these problems. The narrative shall describe the actions expected from both Member States and international organizations, as well as the linkages with other major programmes.	There are no longer "major" programmes.	Delete.
(ii) Each programme shall contain an introductory narrative describing general orientation and main features, and, where available, the recommendations of intergovernmental organs regarding the relative priorities of its constituent subprogrammes.	Regulation 4.5 already describes the content of programmes and subprogrammes. With the new structure of the medium-term plan, priorities are no longer established at the subprogramme level. The General Assembly, in its resolution 53/207, on the recommendation of the Committee for Programme and Coordination, decided that priorities should be established in the medium-term plan, as reflected in regulation 4.2.	Delete.
(iii) Unless provided otherwise in subparagraph (v) below, the subprogramme shall be the main unit of analysis, review and evaluation in the United Nations planning and programming system.	With the deletion of subparagraph (v) below, the words "Unless provided otherwise in subparagraph (v) below" should be deleted.	The subprogramme shall be the main unit of analysis, review and evaluation in the United Nations planning and programming system.

Regulation/rule	*Comment*	*Change*
(iv) The subprogramme structure shall be based on objectives rather than on the internal administrative structure of the Secretariat unit responsible for the programme.	This rule is already covered by regulation 4.5 and revised rule 104.6 (c) above.	Delete.
(v) Activities in fulfilment of continuing functions of the Organization, arising from provisions of the Charter, particularly in the political and related areas pertaining to the maintenance of international peace and security or recognized as such in their original mandates, or in the Secretary-General's bulletin establishing the terms of reference of the competent Secretariat unit, may not necessarily require planning at the subprogramme level. They may be adequately planned along the lines provided for in subparagraph (e) concerning servicing activities.	This rule is already covered by regulation 4.5.	Delete.
(e) For servicing activities:	This rule is already covered by regulations 4.4 and 4.5. The entire paragraph and subparagraphs are no longer necessary.	Delete.
(i) The format of the medium-term plan proposals shall be by organizational unit and by function; a list of established functions shall be provided in the instructions issued by the Secretary-General, as referred to in rule 104. 1.		
(ii) The functions shall be such as to allow for a clear definition and measurement of their resource input and the corresponding delivery of services.		
(iii) The planned objectives shall indicate:		
a. Expected changes in nature, quality and quantity of services to be delivered;		

Regulation/rule	*Comment*	*Change*
b. Expected changes in the methods and technology of production of the services. (iv) Changes in quantity of services expected to be delivered shall be related whenever possible and relevant to changes in substantive activities to be serviced.		
Regulation 4.6. The plan shall include an introduction, which will constitute a key integral element in the planning process. The introduction shall be derived from legislative mandates set by intergovernmental organs, shall also identify future challenges and shall: **(a) Highlight in a coordinated manner the policy orientation of the United Nations;** **(b) Indicate the medium-term objectives and strategy and trends deduced from mandates which reflect priorities set by intergovernmental organizations as well as future challenges;** **(c) Contain the Secretary-General's proposals on priorities. [replaced 4.7]**		
Rule 104.7 [relates to current regulation 4.6] The introduction to the plan shall highlight the policy orientations and priorities of the United Nations in the context of the United Nations system.	Pursuant to the revisions approved for regulation 4.6, there is no longer reference to the United Nations system.	Delete.
Regulation 4.7. The medium-term plan shall cover a four-year period and be submitted to the General Assembly one year before the submission of the proposed programme budget covering the first biennium of the plan period. [replaced 4.9]		

Regulation/rule	*Comment*	*Change*
Regulation 4.8. The programmes and subprogrammes of the proposed medium-term plan shall be reviewed by the relevant sectoral, functional and regional intergovernmental bodies, if possible during the regular cycle of their meetings prior to their review by the Committee for Programme and Coordination, the Economic and Social Council and the General Assembly. The Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions shall consider the proposed medium-term plan in accordance with their terms of reference. [replaced 4.12]	**Former regulation 4.8 has been deleted.**	
Rule 104.12 [relates to current regulation 4.8]		
(a) Programme managers shall prepare, in conformity with these Regulations and Rules and with the instructions issued by the Secretary-General and under the policy guidance of the heads of departments and offices, a draft of their portions of the plan.	**No change.**	
(b) Programme managers shall draft their portions of the plan in time for them to be reviewed by the organs referred to in regulation 4.13.	**Regulation 4.13 is now regulation 4.9.**	**Programme managers shall draft their portions of the plan in time for them to be reviewed by the organs referred to in regulation 4.9.**
(c) When those organs are considering the proposed plan, the Secretariat shall draw their attention to the provisions of these Regulations and Rules.	**No change.**	
(d) After this review has been completed, the submitting unit shall send the following documents, in the numbers and languages required, to the central secretariat units:	**Current practice should be reflected.**	**After this review has been completed, programme managers shall send the following documents to the Office of Programme Planning, Budget and Accounts.**
(i) The draft plan as presented to the relevant body;	**No change.**	
(ii) That part of the report of the body covering its review of the draft plan and its recommendations for changes;	**No change.**	

Regulation/rule	*Comment*	*Change*
(iii) The redrafted plan reflecting those recommendations where appropriate.	No change.	
(e) When all specialized intergovernmental reviews have been completed and the above-mentioned documents received, the plans will be adjusted to incorporate changes needed to ensure coherence, improve coordination and avoid overlap. The formulation of the proposed medium-term plan shall be supervised by the Programme Planning and Budgeting Board. The financial information required will be prepared by the Office of Financial Services.	References to specialized intergovernmental reviews appear under regulation 4.9. The Programme Planning and Budgeting Board no longer exists; financial information is not provided in the medium-term plan.	When the above-mentioned documents are received, the narratives of the programmes and subprogrammes will be adjusted to incorporate changes needed to ensure coherence, improve coordination and avoid overlap. The formulation of the proposed medium-term plan shall be supervised by the Steering Committee on Reform and Management.
(f) The proposed plan will then be issued in fascicles as a General Assembly document. Only the Secretary-General's proposed plan will be made available to the Committee for Programme and Coordination, the Economic and Social Council and the General Assembly.	No change.	
(g) The plan, as approved by the General Assembly, will be printed as a single document.	No change.	
Regulation 4.9. The participation of sectoral, functional and regional organs in the formulation of the plan shall be achieved by means of an appropriate preparation period. To that end, the Secretary-General shall provide proposals for the coordination of their calendars of meetings.		
The activities in the medium-term plan shall be coordinated with those of the concerned specialized agencies through prior consultations. [formerly 4.13]		

Regulation/rule	*Comment*	*Change*
Rule 104.13 (relates to current regulation 4.9)		
(a) To ensure that all intergovernmental organs concerned are appropriately involved in the planning process, the Secretary-General shall make proposals to the Committee on Conferences, with a view to coordinating the calendar of meetings of the intergovernmental organs concerned.	Pursuant to General Assembly resolutions 52/219 and 53/207, the Secretary-General takes measures to submit proposals to the sectoral, functional and regional bodies for their review prior to submission to the Committee for Programme and Coordination.	The Secretary-General shall take appropriate measures to submit proposals to the sectoral, functional and regional bodies, to enable them to review the relevant portions of the medium-term plan or its revisions with a view to facilitating their consideration by the Committee for Programme and Coordination and the General Assembly.
(b) Medium-term plan proposals shall be circulated to the specialized agencies in accordance with the agreed procedures for prior consultations in time for their comments to be taken into account by the Committee for Programme and Coordination.	Not necessary since it is already expressed in the regulation.	Delete.
Regulation 4.10. The General Assembly shall consider the proposed medium-term plan in the light of the comments and recommendations of the Economic and Social Council, the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions. The Assembly shall decide to accept, curtail, reformulate or reject each of the subprogrammes proposed in the plan. [formerly 4.14]	Former regulation 4.10 has been renumbered 4.12.	
Regulation 4.11. After adoption by the General Assembly, the medium-term plan shall constitute the principal policy directive of the United Nations which: **(a) States the medium-term objectives to be attained in the plan period;** **(b) Describes the strategy to be followed to that effect and the means of action to be used. [replaced 4.3]**	Former regulation 4.11 has been renumbered 4.13.	
Rule 104.3 (relates to current regulation 4.11) In the subprogrammes of the proposed medium-term plan:		

Regulation/rule	*Comment*	*Change*
(a) The objectives for Governments or for intergovernmental action shall be presented separately from the objectives for secretariat action.	This is no longer applicable in current format.	Delete.
(b) Objectives for Secretariat action shall be, to the greatest extent possible, concrete and time-limited; achievement of the objectives should be verifiable either directly or through evaluation. Indicators of achievement should be given where possible.	Objectives are formulated for achievement within the plan period. *Insert* within the medium-term plan period *after* time-limited.	Objectives for Secretariat action shall be, to the greatest extent possible, concrete and time-limited within the medium-term plan period; achievement of the objectives should be verifiable either directly or through evaluation. Indicators of achievement should be given where possible.
(c) When an objective for Secretariat action cannot be achieved by the end of the plan period, both this longer-term objective and more specific objective(s) to be achieved within the plan period shall be set.	With the revision made to (b), this subparagraph would no longer be necessary.	Delete.
(d) The strategy for the subprogramme shall describe the course of action which can be expected to result in the partial or complete fulfilment of its objective.	No change.	
(e) The strategy shall briefly describe the situation that is expected to have been reached at the beginning of the plan period and the approach that will be taken during the plan period to achieve the objective.	No change.	
(f) The strategy shall indicate the type of activities (research, technical assistance, support of negotiations, etc.) that will be undertaken and, to the extent possible, their sequence.	The focus of the medium-term plan is on objectives, not activities; already covered by subparagraphs (d) and (e) above.	Delete.
(g) The continuing activities of the Secretariat shall be identified as such.	See also subparagraphs (d) and (e).	Delete.
(h) The strategy shall provide the programme framework within which the programme budgets for the bienniums covered by the plan will be prepared; the programme elements and output in these biennial programme budget proposals shall be derived from the plan strategy.	"Programme elements" are no longer applicable; references to the format of programme budgets appear under article V, Programme aspects of the budget.	Delete.
(i) The objectives and strategy shall encompass all activities proposed within a subprogramme.	No change.	

Regulation/rule	*Comment*	*Change*
(j) At the major programme level, the medium-term plan shall include indicative estimates of its resource implications by stating alternative-growth assumptions; the estimates shall include assumptions on the availability of extrabudgetary funds.	There are no "major" programmes; following revision of the regulation, indication of resources is no longer applicable.	Delete.
(k) Where an entire subprogramme, or an entire identifiable segment thereof, is expected to be financed from extrabudgetary resources, this shall be indicated.	Since the plan does not contain references to resources, this rule is no longer necessary.	Delete.
Regulation 4.12. Sectoral, functional and regional programme-formulating organs shall refrain from undertaking new activities not programmed in the medium-term plan, unless a pressing need of an unforeseeable nature arises, as determined by the General Assembly. [formerly 4.10]		
Regulation 4.13. The medium-term plan shall be revised as necessary every two years to incorporate required programme changes; revisions to the plan shall be considered by the General Assembly one year before the submission of the proposed programme budget providing for implementation of the changes. The proposed revisions shall be as detailed as required to incorporate the programme implications of the resolutions and decisions adopted by the intergovernmental organs or international conferences since the adoption of the plan. [formerly 4.11]		
Rule 104.11 [relates to current regulation 4.13]		
(a) Revisions to the plan are required, *inter alia:*		
(i) When intergovernmental mandates passed after the adoption of the plan call for new or substantially modified subprogrammes;	*Insert* programmes and *after* modified.	When intergovernmental mandates passed after the adoption of the plan call for new or substantially modified programmes and subprogrammes;

Regulation/rule	*Comment*	*Change*
(ii) When the programme mandates in the opinion of the Secretary-General have become obsolete;	No change.	
(iii) When changes in the amount of voluntary resources available result in programme changes;	No change.	
(iv) When the Secretary-General deems it necessary to propose new activities at the subprogramme level not covered by existing legislative mandates.	No change.	
(b) Proposed revisions submitted by the heads of departments and offices to the Secretary-General should be identified as:	Already reflected above.	Delete.
(i) Completely new programmes or subprogrammes;	Already reflected above.	Delete.
(ii) Substantive revisions of existing programmes or subprogrammes;	Already reflected above.	Delete.
(iii) Other revisions.	Already reflected above.	Delete.
(c) Substantive revisions shall be those which propose a change in the objective(s) or the strategy of the programme or subprogramme.	Already reflected above.	Delete.
Regulation 4.14. The establishment of priorities among both substantive programmes and common services shall form an integral part of the general planning and management process without prejudice to arrangements and procedures now in force or to the specific character of servicing activities. Such priorities shall be based on the importance of the objective to Member States, the Organization's capacity to achieve it and the real effectiveness and usefulness of the results. [formerly 4.15]		
Regulation 4.15. Specialized intergovernmental and expert bodies, when reviewing the relevant programmes of the medium-term plan within their sphere of competence, shall refrain from establishing priorities that are not consistent with the overall priorities in the medium-term plan. [replaced 4.16]		

Regulation/rule	*Comment*	*Change*
Rule 104.16 [relates to current regulation 4.15] The Secretary-General, on the basis of the recommendations of sectoral, functional and regional bodies as provided in regulation 4.15, shall indicate the subprogrammes in the proposed medium-term plan which he considers to be of the highest and lowest priority in the light of the criteria mentioned in regulation 4.14.	Priority-setting is no longer at the subprogramme level.	Delete.
Regulation 4.16. Priorities, as determined by the General Assembly, in the medium-term plan shall guide the allocation of budgetary and extra budgetary resources in the subsequent programme budgets. After the medium-term plan has been adopted by the Assembly, the Secretary-General shall bring the decisions on priorities to the attention of Member States and the governing boards of the voluntary funds. [formerly 4.18]	Former regulation 4.17 has been deleted.	
Rule 104.18 [relates to current regulation 4.16] (a) The allocation of resources proposed by the Secretary-General in the subsequent programme budgets shall be made in accordance with regulations 5.1 to 5.9 below and the attendant rules.	The rules should be updated to reflect the inclusion of regulations under article III, following the adoption by the General Assembly of resolutions 41/213 and 42/211.	The allocation of resources proposed by the Secretary-General in the subsequent programme budgets shall be made in accordance with articles III and V.
(b) The Secretary-General shall communicate the decisions of the General Assembly on plan priorities to the Member States and the governing boards of the voluntary funds not later than three months after these decisions have been taken.	General Assembly decisions are not transmitted to Member States because they took the decisions.	Delete.
Article V. Programme aspects of the budget **Regulation 5.1. The medium-term plan as approved and revised by the General Assembly shall serve as the framework for the formulation of the biennial programme budget. In order to facilitate this relationship, the programme budget shall have financial information at the programme and subprogramme levels.**		

Regulation/rule	*Comment*	*Change*
Rule 105.1 As provided in rule 104.6 (c), the subprogramme structure of the programme budget shall be identical to that of the plan unless a change in the subprogramme structure has been authorized under a subsequent legislative mandate. Financial information shall be provided at the major programme level in an annex to the Introduction of the proposed programme budget. As a rule, the detailed financial data in the proposed programme budget shall be linked to the medium-term plan at the programme level. At the subprogramme level, estimates of the required resources, expressed as a percentage of the programme resources, shall be provided.	The concept of "major" programmes is no longer applicable; the second sentence should therefore be deleted.	As provided in rule 104.6 (c), the subprogramme structure of the programme budget shall be identical to that of the plan unless a change in the subprogramme structure has been authorized under a subsequent legislative mandate. Financial data in the proposed programme budget shall be linked to the medium-term plan at the programme and subprogramme levels. At the subprogramme level, estimates of the required resources, expressed as a percentage of the programme resources, shall be provided.
Regulation 5.2. The programme proposals in the budget shall aim at achieving objectives established in the plan. Programme proposals that are not derived from the objectives of the plan shall be submitted only as a result of legislation passed subsequent to adoption of the plan or its last revision.		
Rule 105.2 No activity shall be included in the proposed programme budget unless it is clearly in implementation of the plan strategy and likely to help to achieve the plan objectives or in implementation of legislation passed subsequent to the approval or revision of the medium-term plan.	The programme budget reflects outputs as well as activities; *insert* or output *after* activity.	No activity or output shall be included in the proposed programme budget unless it is clearly in implementation of the plan strategy and likely to help to achieve the plan objectives or in implementation of legislation passed subsequent to the approval or revision of the medium-term plan.
Regulation 5.3. In the proposed programme budget, requested resources shall be justified in terms of the requirements of output delivery.		

Regulation/rule	*Comment*	*Change*
Rule 105.3 For substantive activities, programme budget submissions to the Secretary-General will provide, at the appropriate level, data on resources required, such as Professional work months, travel, consultants and other relevant objects of expenditure. These data will be used in internal budget formulation procedures as a basis for proposals in the proposed programme budget submitted to the Committee for Programme and Coordination, the Advisory Committee on Administrative and Budgetary Questions and the General Assembly. The programme narrative describing servicing activities shall include, wherever possible, quantitative indicators measuring the services rendered and showing any expected change in productivity during the biennium.	***Replace*** **substantive *with* all; and *replace* Professional work months *with* requirements for posts. Reference to the Committee for Programme and Coordination and the Advisory Committee is not necessary in the context of preparation of the programme budget.**	**For all activities, programme budget submissions to the Secretary-General will provide, at the appropriate level, data on resources required, such as requirements for posts, travel, consultants and other relevant objects of expenditure. These data will be used in internal budget formulation procedures as a basis for proposals in the proposed programme budget. The programme narrative describing servicing activities shall include, wherever possible, quantitative indicators measuring the services rendered and showing any expected change in productivity during the biennium.**
Regulation 5.4. The proposed programme budget shall be divided into parts, sections and programmes. Programme narratives shall set out subprogrammes, outputs, objectives and expected accomplishments during the biennium. The proposed programme budget shall be preceded by a statement explaining the main changes made in the content of the programme and the volume of resources allocated to them in relation to the previous biennium. The proposed programme budget shall be accompanied by such information, annexes and explanatory statements as may be requested by or on behalf of the General Assembly and such further annexes or statements as the Secretary-General may deem necessary and useful.		
Rule 105.4 1. The programme narratives for substantive activities shall conform to the following standards:	***Replace*** **substantive *with* all.**	**The programme narratives for all activities shall conform to the following standards:**

Regulation/rule	*Comment*	*Change*
(a) A programme element shall consist of activities within a subprogramme addressing a specific and well-circumscribed subject matter and shall be designed to produce one or a few final output per biennium. Clearly identified final output to be delivered to Member States or other designated external users during the biennium shall be listed under each programme element.	"Programme elements" are no longer applicable.	Delete.
(b) All final output included in the proposed programme budget shall clearly contribute to the achievement of a subprogramme objective in the medium-term plan.	No change.	
(c) Output citations shall conform to the following standard categories of final output:	No change.	
(i) Substantive servicing of intergovernmental meetings, including support of negotiations;	(i) to (viii) should be replaced to conform with current practice.	(i) Servicing of intergovernmental and expert bodies;
(ii) Reports to intergovernmental bodies;		(ii) Other substantive activities;
(iii) Peacekeeping and humanitarian operations;		(iii) International cooperation and inter-agency coordination and liaison;
(iv) Technical publications, including periodicals, computer print-outs and tapes, and ad hoc information services;		(iv) Conference services;
(v) Public information services;		(v) Technical cooperation;
(vi) Technical cooperation projects, including advisory services;		(vi) Administrative support services;
(vii) Financial contributions, including grants and fellowships;		(vii) Internal oversight services.
(viii) Other final output.		
(d) Each citation shall specify:	Not useful or practical.	Delete.
(i) Category of final output;		
(ii) Content of final output;		
(iii) Primary user(s);		
(iv) Completion date.		

Regulation/rule	*Comment*	*Change*
(e) When a Secretariat activity under a programme element will not result in any final output during the budgetary period concerned, the activities expected to be carried out may be briefly described, if this is not clear from the title of the programme element.	**No longer applicable.**	**Delete.**
2. The programme narratives for servicing activities shall identify the services to be delivered by nature and quantity. Wherever possible, standard categories of services shall be established.	**No change.**	
Regulation 5.5. All activities for which resources are requested in the proposed programme budget shall be programmed.		
Rule 105.5		
All activities, whether financed from regular budget or extrabudgetary resources, shall be programmed in the sense that:	**No change.**	
(a) Output citations as stipulated under rule 105.4 above shall apply, irrespective of the resources used for producing the output.	**No change.**	
(b) Financial information as stipulated under rule 105.3 above shall be provided in internal budget formulation data for both categories of funds.	**No change.**	
Regulation 5.6. Within the proposed programme budget, the Secretary-General shall submit to the General Assembly, with justification, a list of outputs included in the previous budgetary period which, in the judgement of the Secretary-General, can be discontinued and which, as a consequence, have not been included in the proposed programme budget.		

Regulation/rule	*Comment*	*Change*
Rule 105.6		
In their budgetary submissions:		
(a) Heads of departments and offices shall provide the Secretary-General with a list of programme elements and output required by legislation or approved in a previous budgetary period which have not been included in the proposed programme budget because they are considered obsolete, of marginal usefulness or ineffective, and which therefore could be proposed for termination by the General Assembly. The determination of such activities shall be made by applying, *inter alia*, the following criteria:	"Programme elements" are no longer applicable. *Replace* activities *with* outputs.	Heads of departments and offices shall provide the Secretary-General with a list of outputs required by legislation or approved in a previous budgetary period which have not been included in the proposed programme budget because they are considered obsolete, of marginal usefulness or ineffective, and which therefore could be proposed for termination by the General Assembly. The determination of such outputs shall be made by applying, *inter alia*, the following criteria:
(i) Programme elements derived from mandates at least five years old, unless a relevant intergovernmental body has reaffirmed the continuing validity of the mandate;	"Programme elements" are no longer applicable.	Outputs derived from mandates at least five years old, unless a relevant intergovernmental body has reaffirmed the continuing validity of the mandate;
(ii) Programme elements whose legislative basis has been superseded by new mandates;	"Programme elements" are no longer applicable.	Outputs whose legislative basis has been superseded by new mandates;
(iii) Programme elements which were programmed as new elements in the budget for the previous biennium but not begun in that biennium; if such elements are to be included in the budget, justification must be provided;	"Programme elements" are no longer applicable.	Outputs which were programmed as new outputs in the budget for the previous biennium but not implemented in that biennium; if such outputs are to be included in the budget, justification must be provided;
(iv) Programme elements which, during the in-depth evaluation of a programme by the Committee for Programme and Coordination or a review of the programme by the relevant functional or regional intergovernmental organ, were found to be obsolete, of marginal usefulness or ineffective;	"Programme elements" are no longer applicable.	Outputs which, during the in-depth evaluation of a programme by the Committee for Programme and Coordination or a review of the programme by the relevant functional or regional intergovernmental organ, were found to be obsolete, of marginal usefulness or ineffective;

Regulation/rule	*Comment*	*Change*
(v) Programme elements of low priority that would have required a level of resources for their implementation so large that, in order to accommodate them, high-priority programme elements would have had to be restricted.	"Programme elements" are no longer applicable. The Committee for Programme and Coordination at its thirty-third session recommended that designation of high or low priorities at the level of output or activity, representing 10 per cent of the resources, be discontinued; the recommendation was endorsed by the General Assembly in its resolution 48/228.	Delete.
(b) Heads of departments and offices shall provide in respect of each programme an indication of:	See comment above.	Delete.
(i) Those programme elements financed from the regular budget which represent approximately 10 per cent of the regular budget resources requested in the proposed programme and to which the highest priority is to be assigned;		Delete.
(ii) Those programme elements representing approximately 10 per cent of the same resources and to which the lowest priority is to be assigned.		Delete.
Regulation 5.7. The Secretary-General shall provide the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions with advance copies of the proposed programme budget by the end of April of the year preceding the budgetary period.		
Rule 105.7		
(a) Heads of departments and offices shall submit programme proposals and corresponding budget estimates at such time and in such detail as the Secretary-General may prescribe and in accordance with the present Regulations and Rules.	No change.	

Regulation/rule	*Comment*	*Change*
(b) The submissions shall be reviewed by the Programme Planning and Budgeting Board. In the light of the deliberations of the Board, the Secretary-General shall decide on the programme content and resource allocation of the budget to be submitted to the General Assembly.	The Programme Planning and Budgeting Board no longer exists.	The submissions shall be reviewed by the Steering Committee on Reform and Management. In the light of the deliberations of the Steering Committee, the Secretary-General shall decide on the programme content and resource allocation of the budget to be submitted to the General Assembly.
(c) The programmes of work submitted by programme managers to specialized intergovernmental organs should contain programme elements and output specifications identical to those in the programme portion of the proposed programme budget. This does not preclude the addition of further information and detail, if required by the specialized intergovernmental organs.	Not relevant with respect to the regulation.	Delete.
Regulation 5.8. The Committee for Programme and Coordination shall prepare a report on the proposed programme budget, containing its programme recommendations and its general assessment of the related resource proposals. It shall receive a statement by the Secretary-General on the programme budget implications of its recommendations. The report of the Committee for Programme and Coordination shall be communicated simultaneously to the Economic and Social Council and to the Advisory Committee on Administrative and Budgetary Questions. The Advisory Committee shall receive the report of the Committee for Programme and Coordination and study the statement by the Secretary-General. The reports of the Committee for Programme and Coordination and the Advisory Committee on each section of the proposed programme budget shall be considered simultaneously by the General Assembly.		

Regulation/rule	*Comment*	*Change*
Regulation 5.9. No council, commission or other competent body shall take a decision involving either a change in the programme budget approved by the General Assembly or the possible requirement of expenditure unless it has received and taken account of a report from the Secretary-General on the programme budget implications of the proposal.		
Rule 105.9		
It shall be the responsibility of the head of the department concerned, in consultation with the Office of Financial Services and, as required, with the Programme Planning and Coordination Office of the Department of International Economic and Social Affairs to ensure that a report on programme budget implications, as required by regulation 5.9, is submitted to the General Assembly prior to its adoption of any decision. The report should integrate programme, financial and administrative implications of draft resolutions and include the following information:	**The Office of Financial Services and the Programme Planning and Coordination Office of the Department of International Economic and Social Affairs no longer exist.**	It shall be the responsibility of the head of the department concerned, in consultation with the Office of Programme Planning, Budget and Accounts, to ensure that a report on programme budget implications, as required by regulation 5.9, is submitted to the General Assembly prior to its adoption of any decision. The report should integrate programme, financial and administrative implications of draft resolutions and include the following information:
(a) Modification of the work programme necessitated should the proposed draft resolution, recommendation or decision be adopted, listing additions, changes or deletions to programmes, subprogrammes and programme elements;	**"Programme elements" are no longer applicable.**	Modification of the work programme necessitated should the proposed draft resolution, recommendation or decision be adopted, listing additions, changes or deletions to programmes, subprogrammes and outputs;
(b) Indications, where applicable, of similar or closely related work being carried out elsewhere in the Secretariat and, if possible, indications of related activities being conducted in the specialized agencies of the United Nations system;	**No change.**	

Regulation/rule	*Comment*	*Change*
(c) In cases where it is proposed to finance such additional activities totally or partly by redeployment of existing resources, an indication of the output, programme elements or subprogrammes in the current work programme that would be changed, curtailed or terminated in consequence.	"Programme elements" are no longer applicable.	In cases where it is proposed to finance such additional activities totally or partly by redeployment of existing resources, an indication of the output or subprogrammes in the current work programme that would be changed, curtailed or terminated in consequence.
Article VI. Monitoring of programme implementation		
Regulation 6.1. The Secretary-General shall monitor accomplishments through the delivery of output scheduled in the approved programme budget through a central unit in the Secretariat. After the completion of the biennial budget period, the Secretary-General shall report to the General Assembly, through the Committee for Programme and Coordination, on programme performance during that period.		
Rule 106.1		
(a) Under the guidance of the Programme Planning and Budgeting Board, the Central Monitoring Unit shall:	Delete reference to Programme Planning and Budgeting Board; the Central Monitoring Unit has been reorganized and renamed Central Monitoring and Inspection Unit.	The Central Monitoring and Inspection Unit shall:
(i) Monitor changes made during the biennium in the programme of work in the programme budget approved by the General Assembly;	No change.	
(ii) At the end of the biennium, determine the actual delivery of final output in comparison with the commitments set out in the programme narratives of the approved programme budget and report thereon to the General Assembly through the Committee for Programme and Coordination. This monitoring and performance reporting shall cover all activities in the programme budget.	No change.	

Regulation/rule	*Comment*	*Change*
(b) Programme performance shall be reported under the following procedures:	No change.	
(i) Heads of departments and offices shall submit biennial programme performance reports for their departments at such time and in such detail as the Secretary-General may prescribe;	No change.	
(ii) The Central Monitoring Unit shall be responsible for the determination of actual programme delivery and the preparation of the related report to the General Assembly.	*Add* and Inspection *before* Unit.	The Central Monitoring and Inspection Unit shall be responsible for the determination of actual programme delivery and the preparation of the related report to the General Assembly.
(c) The Internal Audit Division shall conduct ad hoc detailed audits of output delivery.	The Internal Audit Division has been reorganized and renamed "Audit and Management Consulting Division".	The Audit and Management Consulting Division shall conduct ad hoc detailed audits of output delivery.
(d) In the programme performance report, final output actually delivered during the biennium shall be listed according to the following categories:	*Delete* actually delivered during the biennium.	In the programme performance report, final output shall be listed according to the following categories:
(i) Completed as programmed;	No change.	
(ii) Postponed to the following biennium, whether commenced or not;	No change.	
(iii) Completed while significantly reformulated;	No change.	
(iv) Terminated as obsolete, of marginal usefulness or ineffective;	No change.	
(v) Additional output required by a legislative decision subsequent to the approval of the programme budget;	No change.	
(vi) Additional output initiated by the programme manager.	No change.	

Regulation/rule	*Comment*	*Change*
An implementation rate based on the above categories shall be assigned to each programme in the programme performance report. Explanations shall be provided in the programme performance report for low implementation rates and, on request of Member States, for any other departures from programmed commitments.	No change.	
Regulation 6.2. An entire subprogramme shall not be reformulated nor a new programme introduced in the programme budget without the prior approval of an intergovernmental body and the General Assembly. The Secretary-General may make such proposals for review by the relevant intergovernmental body if he or she considers that circumstances so warrant.		
Rule 106.2		
Programme implementation shall be monitored under the following procedures:	No change.	
(a) Heads of departments or offices shall establish internal programme-monitoring procedures pursuant to guidelines established by the Central Monitoring Unit.	*Add* and Inspection *before* Unit.	Heads of departments or offices shall establish internal programme-monitoring procedures pursuant to guidelines established by the Central Monitoring and Inspection Unit.
(b) Within any subprogramme, heads of departments or offices shall have the discretion to modify the approved programme budget by reformulating programme elements and final output, postponing delivery of output to the following biennium or terminating programme elements or output, provided that such changes are in pursuance of the objective and strategy of the subprogramme as set out in the medium-term plan. Such proposed changes shall be reported through the Central Monitoring Unit to the Programme Planning and Budgeting Board, whose concurrence shall be required for changes affecting more than one third of the final output in the subprogramme.	"Programme elements" are no longer applicable. Delete reference to the Programme Planning and Budgeting Board.	Within any subprogramme, heads of departments or offices shall have the discretion to modify the approved programme budget by reformulating final output, postponing delivery of output to the following biennium or terminating output, provided that such changes are in pursuance of the objective and strategy of the subprogramme as set out in the medium-term plan. Such proposed changes shall be reported to the Central Monitoring and Inspection Unit.

Regulation/rule	*Comment*	*Change*
(c) The head of a department or office planning to reformulate an entire subprogramme by substantial changes of its objective or strategy, to terminate a subprogramme or to introduce a new subprogramme shall:	This rule was applicable at the time when there was a large number of subprogrammes. With the current structure of the medium-term plan, it is no longer relevant. See also comments related to rule 104.6 (c) on the role of the General Assembly in modifying subprogramme structure.	Delete.
(i) Propose such changes through the Central Monitoring Unit to the Programme Planning and Budget Board, accompanied by a statement of programme budget implications, as provided for in rule 105.9 (c);	As above.	Delete.
(ii) Obtain approval by a competent intergovernmental organ prior to implementation.	Already reflected in regulation 6.2.	Delete.
(d) Subject to the procedures established under (a), (b) and (c) above, changes in the programme of work mandated by a competent intergovernmental organ which can be implemented within existing resources may be implemented by the department or office concerned with the concurrence of the Programme Planning and Budgeting Board.	The Programme Planning and Budgeting Board had never been involved in changes within a subprogramme.	Subject to the procedures established under (a) and (b) above, changes in the programme of work mandated by a competent intergovernmental organ that can be implemented within existing resources may be implemented by the department or office concerned.
(e) Changes in the programme of work requiring net additional resources may not be implemented before they are approved by the General Assembly.	No change.	
Regulation 6.3. The Secretary-General shall transmit the biennial programme performance report to all Member States by the end of the first quarter following the completion of the biennial budget period.		

Regulation/rule	*Comment*	*Change*
Article VII. Evaluation		
Regulation 7.1. The objective of evaluation is:		
(a) To determine as systematically and objectively as possible the relevance, efficiency, effectiveness and impact of the Organization's activities in relation to their objectives;		
(b) To enable the Secretariat and Member States to engage in systematic reflections, with a view to increasing the effectiveness of the main programmes of the Organization by altering their content and, if necessary, reviewing their objectives.		
Rule 107.1		
(a) The intergovernmental objectives of a programme or subprogramme shall be the standards against which its relevance, effectiveness and impact will be assessed. As a necessary component of programme evaluation there shall be an assessment of the relevance, quality and usefulness of individual output and the effectiveness of the output in achieving the time-limited subprogramme secretariat objective.	"Intergovernmental objectives" are no longer applicable in the context of the new structure of the medium-term plan.	Objectives of a programme or subprogramme shall be the standards against which its relevance, effectiveness and impact will be assessed. As a necessary component of programme evaluation there shall be an assessment of the relevance, quality and usefulness of individual output and the effectiveness of the output in achieving the time-limited subprogramme secretariat objective.
(b) Evaluation shall utilize baseline data and indicators of progress accomplishment to assess programme impact in terms of the intergovernmental objectives. An attempt shall be made to identify and analyse the factors associated with effectiveness and impact.	"Intergovernmental objectives" are no longer applicable in the context of the new structure of the medium-term plan.	Evaluation shall utilize baseline data and indicators of progress accomplishment to assess programme impact in terms of the objectives. An attempt shall be made to identify and analyse the factors associated with effectiveness and impact.
(c) Evaluation findings shall be communicated to Member States through intergovernmental bodies and to heads of departments and offices, in order to facilitate reconsideration of existing mandates, policies, strategies and objectives, the substantive content of programmes and its utility to the user(s).	No change.	

Regulation/rule	*Comment*	*Change*
Regulation 7.2. All activities programmed shall be evaluated over a fixed time period. An evaluation programme as well as a timetable for intergovernmental review of evaluation studies shall be proposed by the Secretary-General and approved by the General Assembly at the same time as the proposed medium-term plan.		
Rule 107.2		
(a) All programmes shall be evaluated on a regular, periodic basis. At the programme or subprogramme level, evaluation plans shall be linked to the medium-term plan, and, at the programme element level, they shall be integrated with the programme budget cycle.	"Programme elements" are no longer applicable.	All programmes shall be evaluated on a regular, periodic basis. At the programme or subprogramme level, evaluation plans shall be linked to the medium-term plan, and they shall be integrated with the programme budget cycle.
(b) The evaluation system shall include periodic self-evaluation of activities directed at time-limited objectives and continuing functions. Programme managers shall, in collaboration with their staff, undertake self-evaluation of all subprogrammes under their responsibility:	No change.	
(i) The timing, scope and other characteristics of a self-evaluation study shall be determined by the nature and characteristics of the activities programmed and other relevant factors;	No change.	
(ii) Methodological support shall be provided by the Central Evaluation Unit in connection with the preparation of self-evaluation reports;	No change.	

Regulation/rule	*Comment*	*Change*
(iii) Evaluation plans, which are required for each new and ongoing subprogramme, shall be prepared by programme managers and shall contain the following elements: a definition of the purpose of the evaluation and the anticipated application of evaluation findings; the evaluation methodology to be employed; the characteristics of the evaluation (e.g., scope of coverage, period covered); measures of change (e.g., nature of the progress and impact indicators to be employed); means of information collection; administrative arrangements and resource requirements.	No change.	
(c) In addition to self-evaluation, the evaluation system shall include ad hoc in-depth evaluation of selected programme areas or topics conducted internally or externally at the request of intergovernmental bodies or at the Secretariat's initiative. In determining whether an in-depth evaluation should be carried out, the results of self-evaluation shall be taken into account.	No change.	
(i) The evaluation proposals submitted by the Secretary-General to the General Assembly for its approval shall include a list of programmes or portions of programmes to be covered on a regular, periodic basis by in-depth evaluations and a timetable indicating the years in which the related reports are due.	No change.	

Regulation/rule	*Comment*	*Change*
(ii) In-depth evaluation reports to be submitted for consideration by the Committee for Programme and Coordination or by the intergovernmental or expert organs directly concerned with each programme, shall be prepared by the Central Evaluation Unit, in collaboration with the programme managers concerned and, if necessary, competent experts in the fields involved. The Joint Inspection Unit may also assist in the preparation of such reports.	No change.	
(iii) At least one in-depth evaluation study shall be undertaken each year. Such a study shall normally be completed within two years.	No change.	
Regulation 7.3. Evaluation shall be internal and/or external. The Secretary-General shall develop internal evaluation systems and seek the cooperation of Member States in the evaluation process, as appropriate. Evaluation methods shall be adapted to the nature of the programme being evaluated. The General Assembly shall invite such bodies as it sees fit, including the Joint Inspection Unit, to perform ad hoc external evaluations and to report on them.		
Rule 107.3		
(a) Self-evaluation shall be conducted by programme managers in compliance with guidelines established by the Central Evaluation Unit, which will be responsible for quality standards, methodology, the adaptation and transfer of evaluation information and ad hoc studies.	No change.	
(b) The United Nations programme categories shall be used as a reference, but the primary focus of self-evaluation shall be on the subprogramme and programme elements.	"Programme elements" are no longer applicable.	The United Nations programme categories shall be used as a reference, but the primary focus of self-evaluation shall be on the subprogramme and outputs.

Regulation/rule	*Comment*	*Change*
(c) Self-evaluation reports shall be concerned with effectiveness and impact of subprogrammes. In them, programme managers shall:	No change.	
(i) Assess the quality and relevance of the output of each subprogramme and their usefulness to the user(s);	No change.	
(ii) Compare the situation existing at the start of the implementation of each subprogramme and what remains to be done in order to ascertain the extent to which a subprogramme has attained its objective;	No change.	
(iii) Analyse the extent to which the objectives of the programme have been attained and the impact of the totality of subprogrammes implemented in the context of the programme;	No change.	
(iv) Identify, in the light of such findings, other possible designs for the programme, that is, alternative subprogrammes which might be considered in order to improve performance in attaining the programme objectives.	No change.	
(d) The evaluation system shall utilize all information collected during the programme performance, monitoring and reporting process but shall remain separate and distinct from that process.	No change.	
(e) The programme evaluation system is separate and distinct from the personnel performance evaluation system. Since the programme evaluation system is concerned with programme effectiveness and impact rather than the performance of individual staff members, no information shall be transmitted between the two systems.	*Replace* performance evaluation *with* performance appraisal.	The programme evaluation system is separate and distinct from the personnel performance appraisal system. Since the programme evaluation system is concerned with programme effectiveness and impact rather than the performance of individual staff members, no information shall be transmitted between the two systems.

Regulation/rule	*Comment*	*Change*
Regulation 7.4. The findings of intergovernmental review of evaluations shall be reflected in subsequent programme design, delivery and policy directives. To this end, a brief report summarizing the conclusions of the Secretary-General on all evaluation studies conducted in the established evaluation programme shall be submitted to the General Assembly at the same time as the text of the proposed medium-term plan.		
Rule 107.4		
(a) Evaluation findings in respect of ongoing or continuing activities shall be directly and immediately communicated to those responsible for programme planning and management to permit mid-course correction, if required.	No change.	
(b) The evaluation system shall include the monitoring of action taken on the basis of evaluation conclusions and recommendations.	No change.	
(c) Evaluation methods shall be made consistent and comparable, so as to facilitate adaptation and transfer of evaluation findings between United Nations major programmes.	*Delete* major.	Evaluation methods shall be made consistent and comparable, so as to facilitate adaptation and transfer of evaluation findings between United Nations programmes.
(d) The reporting of evaluation results shall include a statement on the comprehensiveness and rigour of the evaluation process; it shall clearly differentiate between objective evidence, professional technical judgement and political judgements by Member States, and all its conclusions and recommendations shall be supported by such evidence and judgements. The recommendations contained in the report shall be unambiguous and capable of implementation.	No change.	

Regulation/rule	*Comment*	*Change*
(e) Intergovernmental or expert committees directly concerned with each programme or major programme shall formulate, in connection with evaluation reports submitted to them, recommendations concerning methods of implementation and shall suggest, where appropriate, a new design for the programme, resulting in a new set of subprogrammes. These recommendations shall be transmitted to the Committee for Programme and Coordination for consideration and, in the case of programmes concerning servicing activities, to the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions.	*Delete* major programme.	Intergovernmental or expert committees directly concerned with each programme shall formulate, in connection with evaluation reports submitted to them, recommendations concerning methods of implementation and shall suggest, where appropriate, a new design for the programme, resulting in a new set of subprogrammes. These recommendations shall be transmitted to the Committee for Programme and Coordination for consideration and, in the case of programmes concerning servicing activities, to the Committee for Programme and Coordination and the Advisory Committee on Administrative and Budgetary Questions.
(f) After considering the recommendations of the competent intergovernmental or expert organs and the recommendations contained in the reports prepared by the Central Evaluation Unit, the Committee for Programme and Coordination shall propose to the Economic and Social Council and to the General Assembly measures which may relate to:	No change.	
(i) Changes in procedures used in implementing ongoing programmes;	No change.	
(ii) The redefinition of the content of programmes and subprogrammes.	No change.	

Regulation/rule	*Comment*	*Change*
(g) Measures thus proposed shall be considered either in connection with the formulation of a new plan after study by the intergovernmental bodies concerned of the report of the Secretary-General envisaged in regulation 7.4, summarizing the conclusions of the Secretary-General on the relevant evaluation studies, or in connection with a biennial revision of the plan as envisaged in regulation 4.10.	Regulation 4.10 is now 4.13.	Measures thus proposed shall be considered either in connection with the formulation of a new plan after study by the intergovernmental bodies concerned of the report of the Secretary-General envisaged in regulation 7.4, summarizing the conclusions of the Secretary-General on the relevant evaluation studies, or in connection with a biennial revision of the plan as envisaged in regulation 4.13.
(h) A summary report shall be prepared periodically to include findings of individual reports and general conclusions on the design of the programmes reviewed in order to assist in the preparation of the medium-term plan.	No change.	